AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Halpern, Philip M.	United States District Court - Southern District of New York	04/24/2024
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. District Judge, Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2023 **to** 12/31/2023
7. Chambers or Office Address		
United States District Court, Southern District of New York 300 Quarropas Street, Chambers Room 530 White Plains, New York, 10601		

IMPORTANT NOTES: ***The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.***

I. POSITIONS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Board of Visitor	Elisabeth Haub School of Law at Pace University
2.	Board of Director	Metropolitan Golf Association Foundation
3.	Director	The Mancheski Foundation
4.	Trustee	Revocable Trust No. I(no reportable assets)
5.	Trustee	Irrevocable Trust No. I(no reportable assets)
6.	Adjunct Professor	Elisabeth Haub School of Law at Pace University

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	2019	Buyout Agreement with Collier,Newberg,LLP
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2023	American BarAssn/Book Royalties	$69.99
2.	2023	Collier Newberg LLP/Buyout	$1,173,750.00
3.	2023	Elisabeth Haub School of Law at Pace University teaching income	$5,000.00
4.			

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)

☑ NONE *(No reportable non-investment income.)*

	DATE	SOURCE
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Halpern, Philip M.	04/24/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
1. ABBVIE INC COM	B	Dividend	K	T					
2. ADIENT PLC COM		None	J	T					
3. ADOBE INC		None			Sold (part)	03/14/23	K	B	
4.					Sold	06/28/23	M	E	
5. ALPHABET INC CL A		None	L	T					
6. ALPS/CCM COMPLETE COMMODITIES STRAT		None			Buy	03/06/23	K		
7.					Sold (part)	06/02/23	J		
8.					Sold	07/20/23	K		
9. AMAZON COM INC		None	M	T					
10. AMBASE CORP		None	J	T					
11. AMERICAN EXPRESS CO	A	Dividend	L	T					
12. APPLE INC	D	Dividend	O	T					
13. BANK OF AMERICA CORP	A	Dividend			Sold	06/02/23	K	D	
14. BERKSHIRE HATHAWAY CL-B NEW		None	L	T					
15. BLACKSTONE GROUP INC CL A	C	Dividend	M	T					
16. BLACKSTONE MORTGAGE TRUST INC	A	Dividend	J	T	Buy	08/04/23	K		
17. BNY MELLON DYNAMIC VALUE I		None	K	T	Buy	12/22/23	K		

1. Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000
2. Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000
3. Value Method Codes (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

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☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets). Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
18. BNY MELLON INTL STK I	B	Dividend	L	T					
19. BNY MELLON NATURAL RESOURCES I	C	Dividend	K	T	Buy	01/27/23	K		
20.					Buy (add'l)	02/23/23	J		
21.					Sold (part)	06/02/23	J		
22.					Buy (add'l)	07/20/23	J		
23.					Sold (part)	12/22/23	J		
24. BNY MELLON MUN BD INFRASTRUCTU	B	Dividend	K	T					
25. BROADCOM INC	A	Dividend			Sold (part)	06/15/23	K	D	
26.					Sold (part)	08/04/23	J	B	
27.					Sold (part)	09/21/23	J	B	
28.					Sold (part)	10/12/23	K	D	
29.					Sold (part)	11/08/23	J	C	
30.					Sold	11/09/23	J	C	
31. CAPITAL ONE FINANCIAL CORP	B	Dividend	M	T					
32. CITIZENS FINANCIAL GROUP INC	B	Dividend			Buy	03/14/23	L		
33.					Sold (part)	05/02/23	K		
34.					Sold	05/04/23	K		

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
35. CHEVRON CORP	B	Dividend	K	T					
36. COMM SERV. SELECT SECTOR SDRR	A	Dividend	K	T					
37. CONOCOPHILLIPS	D	Dividend	M	T					
38. CONS DISCRET SEL SECT SPDR FD	A	Dividend	L	T					
39. CONS STAPLES SEL SECT SPDR FD	C	Dividend	L	T	Sold (part)	03/14/23	J		
40.					Sold (part)	06/02/23	K		
41. DELTA AIR LINES INC NEW	A	Dividend	K	T					
42. EBAY INC	A	Dividend	K	T					
43. ENERGY SEL SECT SPDR FD	B	Dividend	K	T					
44. EXXON MOBIL CORP	E	Dividend	O	T					
45. FEDEX CORP	A	Dividend	K	T					
46. FEDERATED HERMES GOVT OBL FUND	A	Dividend	M	T	Buy	07/18/23	M		
47.					Sold (part)	08/04/23	K		
48. FERRARI NV	A	Dividend			Sold (part)	05/04/23	K	D	
49.					Sold (part)	06/27/23	K	D	
50.					Sold (part)	06/29/23	J	C	
51.					Sold (part)	06/30/23	J	C	

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	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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52.					Sold (part)	11/06/23	J	C	
53.					Sold (part)	11/10/23	J	A	
54.					Sold (part)	11/13/23	J	C	
55.					Sold (part)	11/14/23	J	B	
56.					Sold	11/20/23	J	D	
57.	FIRST TRST HLTH CARE ALPHA ETF	A	Dividend	J	T				
58.	FIRST TRUST INSTL PREFERRED SECS ETF	C	Dividend	L	T				
59.	FIRST TRUST CBOE VEST S&P 500 DIVIDEND	A	Dividend	K	T	Buy	09/20/23	K	
60.						Buy (add'l)	11/28/23	K	
61.	FIRST TRUST TCW UNCONSTRAINED BOND	A	Dividend	K	T	Buy	09/20/23	K	
62.						Buy (add'l)	11/28/23	K	
63.	FIRST TRUST LONG/SHORT EQUITY	A	Dividend	K	T	Buy	11/30/23	K	
64.	FT ENHANCED SHORT MURITY ETF	D	Dividend	M	T	Sold (part)	03/14/23	K	A
65.						Buy (add'l)	06/02/23	L	
66.	GENERAL ELECTRIC CO	A	Dividend	J	T				
67.	GE HEALTHCARE TECHNOLOGIES	A	Dividend	J	T				
68.	GRAYSCALE BITCOIN TRUST		None	K	T				

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69. GRAYSCALE ETHEREUM TRUST		None	K	T					
70. HEALTH CARE SEL SECT SPDR FD	B	Dividend	M	T					
71. INDUSTRIAL SEL SEC SPDR FD	B	Dividend	L	T					
72. INVESCO MUNI INCOME A	A	Dividend	J	T					
73. ISHARES MSCI EAFE ETF	A	Dividend	K	T					
74. ISHARES MSCI EAFE GRWTH ETF	A	Dividend	L	T					
75. ISHARES MSCI EMERGING MKTS ETF	A	Dividend	J	T					
76. ISHARES S&P MIDCAP 400 INDEX	A	Dividend	L	T					
77. ISHARES SP SMALLCAP 600 INDEX	A	Dividend	K	T					
78. ISHARES US REGIONAL BANKS ETF	B	Dividend	K	T	Buy	03/14/23	L		
79.					Sold (part)	05/04/23	K		
80.					Sold (part)	06/02/23	K		
81.					Sold (part)	09/20/23	K		
82. JOHN HANCOCK MULTI FACT MID	A	Dividend			Sold (part)	08/04/23	K	D	
83.					Sold	09/20/23	K	D	
84. JOHNSON CTLS INTL PLC	B	Dividend	L	T					
85. JPMORGAN CHASE & CO	B	Dividend	L	T					

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86. JPMORGAN CORE BOND I	C	Dividend	M	T	Buy (add'l)	06/27/23	K		
87. JPMORGAN GLOBAL BD OPPORT I	B	Dividend	K	T					
88. JPMORGAN CHASE DEPOSIT ACCOUNT	A	Interest	N	T					
89. MATERIALS SEL SECT SPDR FD	B	Dividend	L	T					
90. META PLATFORMS INC CL A		None	L	T					
91. METLIFE INCORORATED	A	Dividend	J	T					
92. MICROSOFT CORP	A	Dividend	M	T					
93. MORGAN STANLEY	B	Dividend	K	T					
94. Morgan Stanley Bank Deposit	A	Interest	N	T					
95. MORGAN STANLEY US GOVT MM TR	A	Dividend	J	T	Buy	11/17/23	J		
96. MORGAN STANLEY BANK 5% CD DUE 9/15/23		None			Buy	03/02/23	L		
97.					Redeemed	09/15/23	L		
98. NASDAQ INC	B	Dividend	M	T	Buy	06/14/23	L		
99. NEXTERA ENERGY INC	A	Dividend			Buy	08/04/23	K		
100.					Sold (part)	10/02/23	J		
101.					Sold	12/22/23	K		
102. NUV NEW YORK AMT-FREE MUNIC	A	Dividend	J	T					

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103. NUVEEN NEW YORK MUNI VALUE FD	A	Dividend	J	T					
104. REINHART GENESIS PMV ADV	B	Dividend	L	T					
105. SALIENT MLP&ENERGY INFRASTRUCTURE FD	C	Dividend	L	T					
106. SPDR BLOOMBERG 1-3 MONTH TBILL ETF	D	Dividend	M	T	Sold (part)	03/14/23	J	A	
107.					Buy (add'l)	06/02/23	L		
108. SPDR GOLD TR GOLD SHS		None			Sold (part)	01/27/23	J	C	
109.					Sold	02/23/23	J	C	
110. SPDR S&P 500 ETF TRUST	B	Dividend	M	T					
111. STARBUCKS CORP	B	Dividend	K	T	Sold (part)	01/27/23	K	D	
112.					Sold (part)	11/30/23	K	C	
113. THE FINANCIAL SEL SECT SPDR FD	B	Dividend	M	T					
114. TRI CONTINENTAL CORP	E	Dividend	O	T					
115. UNUMPROVIDENT CORP	A	Dividend	K	T					
116. UTILITIES SEL SECT SPDR FUND	B	Dividend	L	T	Sold (part)	03/14/23	K		
117.					Sold (part)	06/02/23	K		
118. VANGUARD INFO TECH ETF	B	Dividend	N	T					
119. VANGUARD REAL ESTATE ETF	A	Dividend	K	T	Sold (part)	06/14/23	K	C	

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2. Value Codes (See Columns C1 and D3) J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000
3. Value Method Codes (See Column C2) Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets). Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
120. VICTORY RS INTL A	A	Dividend	J	T					
121. VIRTUS INVESTMENT PARTNERS INC	A	Dividend	J	T					
122. VISA INC CLASS A	A	Dividend	K	T	Sold (part)	07/06/23	K	C	
123. WABTEC CORP	A	Dividend	J	T					
124. ADOBE INC SHS		None			Buy	06/14/23	J		
125.					Sold (part)	10/13/23	J	A	
126.					Sold	12/15/23	J	B	
127. ALPHABET INC SHS CL A		None	K	T	Buy (add'l)	01/23/23	J		
128.					Sold (part)	02/16/23	J	A	
129.					Sold (part)	05/30/23	J	C	
130.					Sold (part)	06/28/23	J	A	
131.					Sold (part)	08/04/23	J	A	
132.					Sold (part)	09/07/23	J	A	
133.					Sold (part)	09/20/23	J	B	
134. AMAZON COM INC		None	K	T	Sold (part)	01/18/23	J	A	
135.					Sold (part)	07/18/23	J	A	
136.					Sold (part)	08/16/23	J	A	

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2. Value Codes (See Columns C1 and D3)
J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
137.					Buy (add'l)	09/07/23	J		
138.					Buy (add'l)	12/15/23	J		
139. AMER EXPRESS COMPANY	A	Dividend	K	T					
140. AMERICAN TOWER REIT INC (HLDG CO) SHS	A	Dividend			Sold (part)	01/23/23	J	A	
141.					Sold	06/23/23	J	A	
142. ANALOG DEVICES INC COM	A	Dividend			Buy (add'l)	04/03/23	J		
143.					Sold (part)	05/30/23	J	A	
144.					Sold (part)	06/28/23	J	A	
145.					Sold	08/16/23	J	A	
146. APPLE INC	B	Dividend	N	T	Sold (part)	01/18/23	J	A	
147.					Sold (part)	02/08/23	J	A	
148.					Sold (part)	02/16/23	J	B	
149.					Sold (part)	03/20/23	J	B	
150.					Sold (part)	05/30/23	J	B	
151.					Sold (part)	07/18/23	J	B	
152.					Buy (add'l)	08/16/23	J		
153.					Buy (add'l)	12/15/23	J		

1. Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

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154. APPLIED MATERIAL INC	A	Dividend	J	T	Sold (part)	01/23/23	J	A	
155.					Sold (part)	02/08/23	J	A	
156.					Sold (part)	06/23/23	J	A	
157.					Sold (part)	09/07/23	J	B	
158. APPLOVIN CORP		None			Buy	08/04/23	J		
159.					Buy (add'l)	08/07/23	J		
160.					Buy (add'l)	08/08/23	J		
161.					Buy (add'l)	08/09/23	J		
162.					Buy (add'l)	08/10/23	J		
163.					Sold (part)	08/16/23	J	A	
164.					Sold (part)	08/17/23	J	A	
165.					Sold (part)	08/18/23	J	A	
166.					Sold (part)	09/20/23	J	A	
167.					Sold (part)	09/21/23	J	A	
168.					Sold (part)	09/22/23	J	A	
169.					Sold (part)	09/25/23	J	A	
170.					Sold	09/26/23	J	A	

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171. ASTRAZENECA PLC SPND ADR		None	J	T	Buy	08/16/23	J		
172.					Buy (add'l)	08/17/23	J		
173.					Buy (add'l)	09/20/23	J		
174.					Buy (add'l)	09/21/23	J		
175.					Buy (add'l)	09/22/23	J		
176.					Buy (add'l)	09/25/23	J		
177.					Sold (part)	11/15/23	J	A	
178. AUTODESK INC DEL PV$0.01		None	J	T	Buy	02/08/23	J		
179.					Buy (add'l)	02/09/23	J		
180.					Buy (add'l)	05/12/23	J		
181.					Buy (add'l)	05/17/23	J		
182.					Buy (add'l)	05/18/23	J		
183.					Buy (add'l)	05/19/23	J		
184. BECTON DICKINSON CO	A	Dividend	J	T					
185. BIOMARIN PHARMACEUTICALS		None	J	T	Buy	01/25/23	J		
186.					Buy (add'l)	01/26/23	J		
187.					Buy (add'l)	01/27/23	J		

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188.					Buy (add'l)	01/30/23	J		
189.					Buy (add'l)	03/20/23	J		
190.					Buy (add'l)	03/21/23	J		
191.					Sold (part)	07/06/23	J	A	
192. BOEING COMPANY		None	J	T	Buy	05/26/23	J		
193. BROADCOM INC	A	Dividend	J	T	Sold (part)	01/23/23	J	A	
194.					Sold (part)	03/20/23	J	A	
195.					Buy (add'l)	06/23/23	J		
196.					Sold (part)	09/07/23	J	A	
197.					Sold (part)	12/15/23	J	B	
198. CASH MERRILL LYNCH	A	Interest	J	T					
199. CHENIERE ENERGY	A	Dividend	J	T	Sold (part)	05/12/23	J	A	
200.					Sold (part)	05/17/23	J	A	
201. CHEVRON CORP	B	Dividend	K	T					
202. COSTCO WHOLESALE CRP DEL	A	Dividend	J	T	Sold (part)	07/18/23	J	A	
203.					Sold (part)	10/09/23	J	B	
204.					Sold (part)	12/15/23	J	A	

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205. CVS HEALTH CORP	A	Dividend			Sold	01/25/23	J	A	
206. DATADOG INC REG SHS CL A		None	J	T	Buy	05/12/23	J		
207.					Buy (add'l)	05/17/23	J		
208.					Buy (add'l)	05/18/23	J		
209.					Buy (add'l)	09/28/23	J		
210.					Buy (add'l)	09/29/23	J		
211.					Sold (part)	10/19/23	J	A	
212.					Sold (part)	12/04/23	J	A	
213. DEVON ENERGY CORP NEW	A	Dividend	J	T	Buy (add'l)	09/07/23	J		
214. DISNEY (WALT) CO COM STK		None	J	T					
215. EATON CORP PLC	A	Dividend	J	T	Buy (add'l)	07/06/23	J		
216.					Buy (add'l)	07/07/23	J		
217.					Sold (part)	09/13/23	J	B	
218.					Sold (part)	09/28/23	J	A	
219.					Sold (part)	12/04/23	J	A	
220. EDWARDS LIFESCIENCES CORP		None			Sold (part)	04/28/23	J	A	
221.					Buy (add'l)	05/12/23	J		

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222.					Buy (add'l)	05/17/23	J		
223.					Buy (add'l)	05/18/23	J		
224.					Sold (part)	08/16/23	J	A	
225.					Sold (part)	09/20/23	J	A	
226.					Sold (part)	09/28/23	J	A	
227.					Sold	09/29/23	J	A	
228. ELI LILLY & CO	A	Dividend	K	T	Buy (add'l)	04/03/23	J		
229.					Buy (add'l)	07/06/23	J		
230.					Sold (part)	08/16/23	J	B	
231. EPAM SYSTEMS INC SHS		None			Buy (add'l)	01/23/23	J		
232.					Sold (part)	03/20/23	J	A	
233.					Sold (part)	03/21/23	J	A	
234.					Sold (part)	05/12/23	J	A	
235.					Sold (part)	05/17/23	J	A	
236.					Sold	05/18/23	J	A	
237. FERRARI NV	A	Dividend	J	T	Buy	01/18/23	J		
238.					Buy (add'l)	01/19/23	J		

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	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
239.					Buy (add'l)	01/20/23	J		
240.					Buy (add'l)	01/23/23	J		
241.					Buy (add'l)	01/24/23	J		
242.					Sold (part)	05/30/23	J	A	
243.					Sold (part)	05/31/23	J	A	
244. GARTNER INC		None			Sold	08/02/23	J	A	
245. GENL DYNAMICS CORPORATION	A	Dividend	J	T	Sold (part)	01/23/23	J	A	
246.					Sold (part)	06/14/23	J	A	
247. HESS CORP	A	Dividend	J	T	Sold (part)	01/23/23	J	A	
248.					Buy (add'l)	09/07/23	J		
249. HEWLETT PACKARD ENTERPRISE CO	A	Dividend			Buy (add'l)	01/06/23	J		
250.					Sold (part)	02/08/23	J	A	
251.					Sold	02/09/23	J	A	
252. HONEYWELL INTL INC DEL	A	Dividend			Buy (add'l)	01/23/23	J		
253.					Sold (part)	01/25/23	J	A	
254.					Sold	07/18/23	J	A	
255. HUMANA INC		None	J	T	Buy	09/28/23	J		

1. Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

2. Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

3. Value Method Codes (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
256.					Buy (add'l)	09/29/23	J		
257. INTERACTIVE BROKERS GROU INC	A	Dividend			Buy (add'l)	05/30/23	J		
258.					Buy (add'l)	05/31/23	J		
259.					Sold (part)	06/28/23	J	A	
260.					Sold (part)	06/29/23	J	A	
261.					Sold (part)	12/15/23	J	A	
262.					Sold (part)	12/18/23	J	A	
263.					Sold	12/19/23	J	A	
264. INTERCONTINENTAL EXCHANCE INC		None			Sold (part)	02/08/23	J	A	
265.					Sold (part)	02/09/23	J	A	
266.					Sold	03/03/23	J	A	
267. INTUIT INC COM	A	Dividend	J	T	Sold (part)	05/30/23	J	B	
268. ISHARES NATIONAL MUNI BOND ETF	A	Dividend			Sold (part)	05/26/23	K	A	
269.					Sold	06/23/23	J	A	
270. ISHARES TIPS BOND ETF	A	Dividend			Sold	10/10/23	K	A	
271. INTUITIVE SURGICAL INC NEW		None	J	T	Buy (add'l)	09/20/23	J		
272.					Buy (add'l)	09/21/23	J		

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
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	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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273.					Buy (add'l)	09/22/23	J		
274.					Buy (add'l)	09/25/23	J		
275. ISHARES SILVER TR		None	J	T					
276. JPMORGAN CHASE & CO	A	Dividend	J	T					
277. LAUDER ESTEE COS INC A	A	Dividend			Buy	01/18/23	J		
278.					Buy (add'l)	05/30/23	J		
279.					Sold	06/14/23	J	A	
280. LINDE PLC REG	A	Dividend			Buy	01/06/23	J		
281.					Sold	03/02/23	J		
282. LINDE PLC NEW	A	Dividend	J	T	Buy	03/02/23	J		
283. LOWE'S COMPANIES INC		None	J	T	Buy	12/15/23	J		
284. LULULEMON ATHLETICA INC		None			Sold	01/10/23	J	A	
285. MASTERCARD INC	A	Dividend	K	T	Buy (add'l)	01/23/23	J		
286.					Buy (add'l)	05/30/23	J		
287. MCDONALDS CORP COM	A	Dividend	J	T					
288. MERCK AND CO INC SHS	A	Dividend	K	T					
289. META PLATFORMS INC CLASS A COMMON STOCK		None	M	T	Buy	02/08/23	J		

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
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	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
290.					Buy (add'l)	02/09/23	J		
291.					Buy (add'l)	05/30/23	J		
292.					Buy (add'l)	06/28/23	J		
293.					Buy (add'l)	06/29/23	J		
294.					Buy (add'l)	07/18/23	J		
295.					Sold (part)	12/04/23	J	A	
296. MICROSOFT CORP	A	Dividend	J	T	Sold (part)	03/20/23	J	B	
297.					Sold (part)	05/12/23	J	B	
298.					Sold (part)	05/17/23	J	A	
299.					Buy (add'l)	09/20/23	J		
300.					Buy (add'l)	09/21/23	J		
301.					Buy (add'l)	09/22/23	J		
302.					Buy (add'l)	09/25/23	J		
303.					Buy (add'l)	10/13/23	J		
304.					Sold (part)	11/15/23	J	B	
305.					Sold (part)	12/04/23	J	A	
306.					Sold (part)	12/15/23	J	A	

1. Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

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307. MONGODB INC CL A		None	J	T	Buy	10/19/23	J		
308.					Buy (add'l)	10/20/23	J		
309.					Buy (add'l)	12/04/23	J		
310. NOVO NORDISK A S ADR		None	K	T	Buy	11/07/23	J		
311. NVIDIA	A	Dividend	J	T	Buy (add'l)	01/18/23	J		
312.					Buy (add'l)	02/08/23	J		
313.					Buy (add'l)	02/16/23	J		
314.					Sold (part)	03/20/23	J	A	
315.					Buy (add'l)	05/30/23	J		
316.					Buy (add'l)	06/23/23	J		
317.					Buy (add'l)	07/18/23	J		
318.					Buy (add'l)	08/16/23	J		
319.					Sold (part)	09/07/23	J	C	
320.					Sold (part)	12/04/23	J	B	
321. O'REILLY AUTOMOTIVE INC		None	J	T	Sold (part)	01/23/23	J	A	
322. ORACLE CORP $0.01 DEL	A	Dividend	J	T	Buy	09/07/23	J		
323. PALANTIR TECHNOLOGIES INC REG SHS CL A		None	J	T	Buy	11/07/23	J		

1. Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

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324. PEPSICO INC	A	Dividend	J	T	Sold (part)	04/03/23	J	A	
325.					Sold (part)	06/23/23	J	A	
326.					Buy (add'l)	10/19/23	J		
327. PROCTER & GAMBLE CO	A	Dividend	J	T	Sold (part)	07/18/23	J	A	
328. PROGRESSIVE CRP OHIO	A	Dividend	J	T	Buy (add'l)	05/16/23	J		
329.					Buy (add'l)	05/17/23	J		
330.					Buy (add'l)	05/18/23	J		
331.					Sold (part)	08/04/23	J	A	
332. RELX PLC		None	J	T	Buy	09/07/23	J		
333. S&P GLOBAL INC	A	Dividend	J	T	Buy	06/23/23	J		
334.					Buy (add'l)	06/26/23	J		
335.					Buy (add'l)	12/04/23	J		
336. SECTOR SPDR UTILITIES	A	Dividend	J	T					
337. SERVICENOW INC		None	J	T	Sold (part)	01/23/23	J	A	
338.					Sold (part)	08/04/23	J	A	
339.					Sold (part)	10/13/23	J	A	
340. SPDR S&P AEROSPACE & DR S&P AEROSPACE & DEFEN	A	Dividend	L	T	Buy	04/28/23	J		

1. Income Gain Codes: (See Columns B1 and D4) A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000
2. Value Codes (See Columns C1 and D3) J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000
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341. SPDR S&P 500 ETF TRUST	A	Dividend	K	T					
342. SPDR US FINANCIAL SECTOR ETF	A	Dividend			Sold	04/28/23	J	A	
343. SPOTIFY TECH S.A. REG SHS		None	J	T					
344. SVB FINL GROUP		None			Buy	02/08/23	J		
345.					Buy (add'l)	02/09/23	J		
346.					Buy (add'l)	02/10/23	J		
347.					Sold	03/28/23	J	A	
348. SYNOPSYS INC		None	J	T	Buy	09/07/23	J		
349.					Buy (add'l)	09/08/23	J		
350.					Sold (part)	12/04/23	J	A	
351. T-MOBILE US INC SHS	A	Dividend	J	T	Sold (part)	01/23/23	J	A	
352.					Buy (add'l)	09/07/23	J		
353. TAKE TWO INTER SOFTWARE		None	K	T	Buy	10/09/23	J		
354.					Buy (add'l)	10/11/23	J		
355.					Buy (add'l)	10/13/23	J		
356. TESLA INC		None	J	T	Buy	03/03/23	J		
357.					Buy (add'l)	03/20/23	J		

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	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
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358.					Buy (add'l)	06/14/23	J		
359.					Buy (add'l)	08/16/23	J		
360.					Buy (add'l)	09/13/23	J		
361.					Buy (add'l)	11/15/23	J		
362.					Sold (part)	12/15/23	J	A	
363. TEXAS INSTRUMENTS	A	Dividend	J	T	Sold (part)	09/07/23	J	B	
364. THE MOSAIC COMPANY	A	Dividend			Buy	01/06/23	J		
365.					Buy (add'l)	01/09/23	J		
366.					Buy (add'l)	01/10/23	J		
367.					Sold (part)	05/12/23	J	A	
368.					Sold	05/17/23	J	A	
369. THERMO FISHER SCIENTIFIC INC	A	Dividend	J	T	Sold (part)	02/08/23	J	A	
370.					Buy (add'l)	05/30/23	J		
371.					Sold (part)	06/14/23	J	A	
372.					Buy (add'l)	12/15/23	J		
373. TJX COS INC NEW	A	Dividend	J	T	Sold (part)	01/23/23	J	A	
374.					Buy (add'l)	02/08/23	J		

1. Income Gain Codes: (See Columns B1 and D4)
A =$1,000 or less
B =$1,001 - $2,500
C =$2,501 - $5,000
D =$5,001 - $15,000
E =$15,001 - $50,000
F =$50,001 - $100,000
G =$100,001 - $1,000,000
H1 =$1,000,001 - $5,000,000
H2 =More than $5,000,000

2. Value Codes (See Columns C1 and D3)
J =$15,000 or less
K =$15,001 - $50,000
L =$50,001 - $100,000
M =$100,001 - $250,000
N =$250,001 - $500,000
O =$500,001 - $1,000,000
P1 =$1,000,001 - $5,000,000
P2 =$5,000,001 - $25,000,000
P3 =$25,000,001 - $50,000,000
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3. Value Method Codes (See Column C2)
Q =Appraisal
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Name of Person Reporting	Date of Report
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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
375.					Buy (add'l)	02/09/23	J		
376.					Sold (part)	12/04/23	J	A	
377. TOPBUILD CORP SHS		None	J	T	Buy	12/04/23	J		
378.					Buy (add'l)	12/05/23	J		
379.					Buy (add'l)	12/06/23	J		
380.					Buy (add'l)	12/07/23	J		
381.					Buy (add'l)	12/15/23	J		
382.					Buy (add'l)	12/18/23	J		
383. UBER TECHNOLOGIES INC		None	J	T	Buy	07/18/23	J		
384.					Sold (part)	10/19/23	J	A	
385.					Sold (part)	12/15/23	J	A	
386. UNION PACIFIC CORP	A	Dividend	J	T	Buy	08/02/23	J		
387.					Buy (add'l)	11/15/23	J		
388.					Buy (add'l)	12/04/23	J		
389.					Buy (add'l)	12/05/23	J		
390.					Buy (add'l)	12/06/23	J		
391. UNITEDHEALTH GROUP INC	A	Dividend	J	T	Buy (add'l)	03/20/23	J		

1. Income Gain Codes: (See Columns B1 and D4)
A =$1,000 or less
B =$1,001 - $2,500
C =$2,501 - $5,000
D =$5,001 - $15,000
E =$15,001 - $50,000
F =$50,001 - $100,000
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H1 =$1,000,001 - $5,000,000
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J =$15,000 or less
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☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
392.					Buy (add'l)	03/21/23	J		
393.					Buy (add'l)	05/30/23	J		
394.					Sold (part)	12/04/23	J	B	
395.					Sold (part)	12/15/23	J	C	
396. UNITY SOFTWARE INC		None	J	T	Buy	12/15/23	J		
397.					Buy (add'l)	12/18/23	J		
398.					Buy (add'l)	12/19/23	J		
399. VANGUARD GROWTH ETF	A	Dividend	K	T					
400. VANGUARD INDEX FDS MID-CAP GROWTH INDEX	A	Dividend	K	T					
401. VANGUARD VALUE ETF	A	Dividend	K	T					
402. VISA INC CL A SHRS	A	Dividend	J	T	Sold (part)	01/18/23	J	A	
403.					Buy (add'l)	05/30/23	J		
404.					Sold (part)	06/23/23	J	B	
405. WESTLAKE CORP		None			Sold (part)	01/03/23	J	A	
406.					Sold	01/04/23	J	A	
407. ZOETIS INC	A	Dividend	K	T	Sold (part)	01/23/23	J	A	
408. EATON VANCE BALANCED FUND CL I	B	Dividend	K	T	Sold (part)	12/05/23	J	A	

1. Income Gain Codes: (See Columns B1 and D4) — A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000
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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
409. U.S. TREASURY BILL ZERO% JAN 04 2024		None	K	T	Buy	10/10/23	K		
410. U.S. TREASURY BILL ZERO% AUG 08 2024		None	K	T	Buy	09/07/23	K		
411. NEW YORK ST GO REF BDS SER C OID MAR13 03.000%APR15 2030	A	Interest	K	T					
412. U.S. TREASURY BILL ZERO% AUG 17 2023		None			Buy	03/23/23	K		
413.					Redeemed	08/17/23	K		
414. U.S. TREASURY BILL ZERO% FEB 16 2023		None			Redeemed	02/16/23	K		
415. U.S. TREASURY BILL ZERO% MAR 07 2023		None			Redeemed	03/07/23	K		
416. U.S. TREASURY BILL ZERO% SEP 14 2023		None			Buy	03/23/23	K		
417.		None			Redeemed	09/14/23	K		
418. Guardian Global Utilities VIP Fund		None	J	T					
419. Guardian Integrated Research VIP Fund		None	K	T					
420. Guardian Large Cap Disciplined Growth VIP Fund		None	J	T					
421. Guardian Large Cap Disciplined Value VIP		None	J	T					
422. Guardian Large Cap Fundamental Growth VIP Fund		None	J	T					
423. Guardian Mid Cap Relative Value VIP Fund		None	J	T					
424. Guardian Mid Cap Traditional Growth VIP Fund		None	J	T					
425. Guardian Small Cap Core VIP Fund		None	J	T					

1. Income Gain Codes: (See Columns B1 and D4) A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000
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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
426. Guardian Small-Mid Cap Core VIP Fund		None	J	T					
427. Guardian Strategic Large Cap Core VIP Fund		None	J	T					
428. MFS VIT Technology Portfolio SC		None	J	T					
429. Guardian International Equity VIP Fund		None	J	T					
430. Guardian International Growth VIP Fund		None	J	T					
431. Guardian Core Fixed Income VIP Fund		None	J	T					
432. Guardian Core Plus Fixed Income VIP Fund		None	J	T					
433. Guardian Multi-Sector Bond VIP Fund		None	J	T					
434. Guardian Short Duration Bond VIP Fund		None	J	T					
435. Guardian U.S. Government Securities VIP Fund		None	J	T					

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

I Positions: Filer has no beneficial interests in the two Trusts listed in items 4 and 5 in Part I.
VII Investments and Trusts: The assets listed on lines 418 through 435 do not show actual income earned; and only show a unit value. Therfore, no information has been included in column B for those line items.

Name of Person Reporting	Date of Report
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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 13141 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: S/ Philip M. Halpern

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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